

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | |
|---|----------------------------|---|
| UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No. | 36194/42366 |
| | First Inventor | Tully et al. |
| | Title | System And Method For The Automated Brokerage Of Financial Instruments |
| | Express Mail No. | EV328618216US |

| | |
|--|---|
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents. | ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450, Alexandria, VA 22313-1450 |
| 1. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. | 5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (<i>Appendix</i>) |
| 2. <input checked="" type="checkbox"/> Specification [Total Pages 99] (preferred arrangement set forth below) <input checked="" type="checkbox"/> Descriptive title of the invention <input type="checkbox"/> Cross Reference to Related Applications <input type="checkbox"/> Statement Regarding Fed sponsored R & D <input type="checkbox"/> Reference to sequence listing, a table, or a computer program listing appendix <input checked="" type="checkbox"/> Background of the Invention <input checked="" type="checkbox"/> Brief Summary of the Invention <input checked="" type="checkbox"/> Brief Description of the Drawings (<i>if filed</i>) <input checked="" type="checkbox"/> Detailed Description <input checked="" type="checkbox"/> Claim(s) <input checked="" type="checkbox"/> Abstract of the Disclosure | 6. Nucleotide and/or Amino Acid Sequence Submission (<i>if applicable, all necessary</i>) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies |
| 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 39] | ACCOMPANYING APPLICATION PARTS |
| 4. Oath or Declaration [Total Pages 3] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Unexecuted c. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 17 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). | 7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 9. <input type="checkbox"/> English Translation Document (<i>if applicable</i>) 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 11. <input type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 13. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 14. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent 15. <input type="checkbox"/> Certificate of Express Mail 16. <input type="checkbox"/> Other: _____ |

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. _____

Prior application information: Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

| | | |
|---|--|--|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label |  PATENT TRADEMARK OFFICE | or <input type="checkbox"/> Correspondence address below |
|---|--|--|

| | | | | | |
|----------------|--|------------------|--|-----------------|--------------|
| Name | Benjamin L. Volk, Jr. | | Registration No. (Attorney/Agent) | | #48,017 |
| Address | Thompson Coburn LLP One US Bank Plaza, Suite 3500 | | | | |
| City | St. Louis | State | MO | Zip Code | 63101-9928 |
| Country | U.S.A. | Telephone | 314-552-6000 | Fax | 314-552-7000 |

Burdens Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20331. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: ASSISTANT COMMISSIONER for Patents, Box Patent Applications, P.O. Box 1450, Alexandria, VA 22313-1450

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| PATENT APPLICATION FEE DETERMINATION RECORD | | | | Application or Docket Number 36194/42366 | | | |
|--|---------------|--------------|--------------|---|----|-------------------------|----------|
| CLAIMS AS FILED - PART I | | | SMALL ENTITY | | OR | OTHER THAN SMALL ENTITY | |
| | (Column 1) | (Column 2) | | | | | |
| FOR | NUMBER FILED | NUMBER EXTRA | RATE | FEE | | RATE | |
| BASIC FEE (37 CFR 1.16(a)) | | | | | | | 770.00 |
| TOTAL CLAIMS (37 CFR 1.16(c)) | 90 minus 20 = | 70 | x \$ | = 0.00 | OR | x \$18.00 = | 1,260.00 |
| INDEPENDENT CLAIMS (37 CFR 1.16(b)) | 11 minus 3 = | 8 | x \$ | = 0.00 | OR | x \$86.00 = | 688.00 |
| MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d)) | | | + \$ | = | OR | + \$ | = |
| * If the difference in column 1 is less than zero, enter "0" in column 2 | | | TOTAL | 0.00 | OR | TOTAL | 2,718.00 |

- ☒ A check in the amount of \$2,718.00 is attached.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \$
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.


Signature

Dated: October 22, 2003

Benjamin L. Volk, Jr., Reg. No. 48,017
Thompson Coburn LLP
One US Bank Plaza, Suite 3500
St. Louis, Missouri 63101-9928
314-552-6000
FAX 314-552-7000

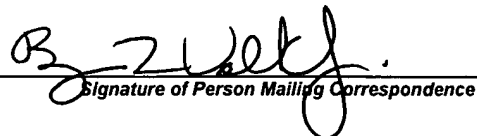


21888

PATENT TRADEMARK OFFICE

I certify that the document and fee is being deposited on October 22, 2003, with the U.S. Postal Service as Express Mail under 37 C.F.R. 1.10 and is addressed to MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail No. EV328618216US


Signature of Person Mailing Correspondence

Benjamin L. Volk, Jr.

Typed or Printed Name of Person Mailing Correspondence

P16B/REV01